

#3

FORMALITIES LETTER



OC00000005014797

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/495,982 | 02/01/2000 | Christopher L. Jones | 002821.P001x |

Michael A DeSanctis
 Blakely Sokoloff Taylor & Zafman LLP
 7th Floor
 12400 Wilshire Boulevard
 Los Angeles, CA 90025

Date Mailed: 03/29/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 820.**

A copy of this notice MUST be returned with the reply.

UNBLOCK

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/25/2000 MMARHOL AWWWWWW 00000000

| | |
|-----------|-----------|
| 01 FC:101 | 690.00 0P |
| 02 FC:105 | 130.00 0P |

Our Docket No: 002821.P001X



PATENT

~~sector \$ #3~~

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
Jones et al.) Examiner: Not yet assigned
Application No.: 09/495,982) Art Unit: 2768
Filed: February 1, 2000)
For: Financial Advisory System)

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION
(FILING DATE GRANTED)**

Assistant Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing parts of Application (Filing Date Granted) mailed March 29, 2000, please find enclosed:

- (1) a duly executed Declaration and Power of Attorney with respect to the above-referenced patent application;
- (2) a check in the amount of \$820.00 in payment of the surcharge of 37 C.F.R. § 1.16(e) and Application Filing Fees;
- (3) a copy of the Notice to File Missing Parts of Application;
- (4) a check in the amount of \$110.00 in payment of 1 month extension.

06/23/2000 MMARMOL 00000089 09495982

03 FC:115

110.00 QP

Docket No.: 004059.P001X
Application No.: 09/495,982



If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 6/16/2000


Michael Anthony DeSanctis
Reg. No. 39,957

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025-1026
(303) 740-1980

FIRST CLASS CERTIFICATE OF MAILING
(37 C.F.R. § 1.8 (a))

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

On June 16, 2000 Date of Deposit

April Whaley
Name of Person Mailing Correspondence
April Whaley 6/16/00
Signature Date



#3

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT (\$) \$930.00

Complete if Known:

Application No. 09/495,982Filing Date February 1, 2000First Named Inventor Christopher L. Jones et al.Group Art Unit 2768Examiner Name Not Yet AssignedAttorney Docket No. 002821.P001X

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name _____

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.131(b)

2. Payment Enclosed

 Check Money Order Other

FEE CALCULATION (fees effective 11/10/98)

1. FILING FEELarge Entity Small Entity

| Fee | Fee | Fee | Fee | Fee Description | Fee Paid |
|--------------|------|------|------|------------------------------------|---------------|
| Code | (\$) | Code | (\$) | | |
| 101 | 760 | 201 | 380 | Utility application filing fee | <u>690.00</u> |
| 106 | 310 | 206 | 155 | Design application filing fee | <u>0.00</u> |
| 107 | 480 | 207 | 240 | Plant filing fee | <u>0.00</u> |
| 108 | 760 | 208 | 380 | Reissue filing fee | <u>0.00</u> |
| 114 | 150 | 214 | 75 | Provisional application filing fee | <u>0.00</u> |
| SUBTOTAL (1) | | | | \$ | <u>690.00</u> |

2. CLAIMS

| | <u>Extra</u> | <u>Fee from below</u> | <u>Fee Paid</u> |
|---------------------------|-----------------|-----------------------|-----------------|
| Total Claims | <u>- 20 = 0</u> | X <u>0.00</u> | = <u>0.00</u> |
| Independent Claims | <u>- 3 = 0</u> | X <u>0.00</u> | = <u>0.00</u> |
| Multiple Dependent Claims | <u>0</u> | X <u>0.00</u> | = <u>0.00</u> |

Large Entity Small Entity

| Fee | Fee | Fee | Fee | Fee Description | Fee Paid |
|--------------|------|------|------|---|-------------|
| Code | (\$) | Code | (\$) | | |
| 103 | 18 | 203 | 9 | Claims in excess of twenty | <u>0.00</u> |
| 102 | 78 | 202 | 39 | Independent claims in excess of 3 | <u>0.00</u> |
| 104 | 260 | 204 | 130 | Multiple dependent claim | <u>0.00</u> |
| 109 | 78 | 209 | 39 | Reissue independent claims over original patent | <u>0.00</u> |
| 110 | 18 | 210 | 9 | Reissue claims in excess of 20 and over original patent | <u>0.00</u> |
| SUBTOTAL (2) | | | | \$ | <u>0.00</u> |

FEE CALCULATION (continued)



3. ADDITIONAL FEES

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|---------------------|--------|--------------|--------|--|------------------|
| Fee | Fee | Fee | Fee | | |
| Code | (\$) | Code | (\$) | | |
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | <u>130.00</u> |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | <u>0.00</u> |
| 139 | 130 | 139 | 130 | Non-English specification | <u>0.00</u> |
| 147 | 2,520 | 147 | 2,520 | For filing a request for reexamination | <u>0.00</u> |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | <u>0.00</u> |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | <u>0.00</u> |
| 115 | 110 | 215 | 55 | Extension for response within first month | <u>110.00</u> |
| 116 | 380 | 216 | 190 | Extension for response within second month | <u>0.00</u> |
| 117 | 870 | 217 | 435 | Extension for response within third month | <u>0.00</u> |
| 118 | 1,360 | 218 | 680 | Extension for response within fourth month | <u>0.00</u> |
| 128 | 1,850 | 228 | 925 | Extension for response within fifth month | <u>0.00</u> |
| 119 | 300 | 219 | 150 | Notice of Appeal | <u>0.00</u> |
| 120 | 300 | 220 | 150 | Filing a brief in support of an appeal | <u>0.00</u> |
| 121 | 260 | 221 | 130 | Request for oral hearing | <u>0.00</u> |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | <u>0.00</u> |
| 140 | 110 | 240 | 55 | Petition to revive unavoidably abandoned application | <u>0.00</u> |
| 141 | 1,210 | 241 | 605 | Petition to revive unintentionally abandoned application | <u>0.00</u> |
| 142 | 1,210 | 242 | 605 | Utility issue fee (or reissue) | <u>0.00</u> |
| 143 | 430 | 243 | 215 | Design issue fee | <u>0.00</u> |
| 144 | 580 | 244 | 290 | Plant issue fee | <u>0.00</u> |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | <u>0.00</u> |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | <u>0.00</u> |
| 126 | 240 | 126 | 240 | Submission of Information Disclosure Stmt | <u>0.00</u> |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | <u>0.00</u> |
| 146 | 760 | 246 | 380 | For filing a submission after final rejection (see 37 CFR 1.129(a)) | <u>0.00</u> |
| 149 | 760 | 249 | 380 | For each additional invention to be examined (see 37 CFR 1.129(a)) | <u>0.00</u> |
| Other fee (specify) | | | | | |
| Other fee (specify) | | | | | |
| | | | | SUBTOTAL (3) | \$ 240.00 |

***Reduced by Basic Filing Fee Paid**

SUBMITTED BY:

Typed or Printed Name:

Michael Anthony DeSanctis

Signature

Date

Reg. Number

Deposit Account User ID

(complete if applicable)

**FIRST CLASS CERTIFICATE OF MAILING
(37 C.F.R. § 1.8 (a))**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

on June 11, 2000
Date of Deposit

April Warley
Name of Person Mailing Correspondence

Docket No: 002821.P001X
Application No: 09/495,982